

PRESIDIO OF MONTEREY'S PROCEDURE FOR CONTROL OF DOCUMENTS

Procedure: The Presidio of Monterey's Procedure for Control of Documents			
Document Owner: EMS Management Representative, Plans, Analysis, and Integration Office (PAIO) – The Presidio of Monterey (POM)		Reviewed: Appropriate approval authority	
		Date: 15 Dec 05	
Update Requirements: The Presidio of Monterey's EMS Management Representative shall maintain this procedure and review it annually. This document and its revisions shall remain current for no more than one year from the effective date. The EMS Management Representative must maintain a log of document history with this procedure.			
Revision Information			
Status	Revision	Effective Date	Revision Summary
Baseline Procedure	1.0		None

A. PURPOSE

- 1) To describe how documents relevant to the EMS of the US Army Presidio of Monterey are controlled appropriately and in accordance with ISO 14001.

B. SCOPE

- 1) This procedure is written to address the criteria established by **Section 4.4.4 and 4.4.5 of ISO 14001:2004.**

C. DEFINITIONS

- 1) **Document** – Information and its supporting medium
- 2) **Record** – Document stating results achieved or providing evidence of activities performed.

D. PROCEDURE

- 1) POM's EMS documentation includes:
 - a. Environmental policy, manual, procedures, objectives and targets
 - b. Description of the scope of the EMS
 - c. Description of the main elements of the EMS and their interaction with references to related documents
 - d. Documents, including records, required by ISO 14001

- e. Documents, including records, determined by POM to be necessary to ensure the effective planning, operation and control of processes that relate to its significant environmental aspects
- 2) EMS documents are drafted or revised only by or at the direction of the EMSMR. If drafted or revised at the direction of the EMSMR, the EMSMR reviews the documents for approval. The EMSMR ensures that documents are legible, dated and readily identifiable. Documents that are not approved are returned for required changes before their use is authorized. For documents prepared by the EMSMR, the EMSMR's supervisor reviews the documents for approval.
- 3) Upon approval, the EMSMR records the revision on the Document Control Revision Log (POM-EMS-PR-4.4.4A).
- 4) For new documents the EMSMR assigns a POM Document Number to approved documents, based on the Document Numbering Matrix (POM-EMS-PR-4.4.4B)
- 5) Electronic copies of POM EMS documents are stored on the POM Share Drive (Pomshare2) in the EMS folder in a sub-folder titled "Current Documents". When documents are updated, the obsolete version is moved to a sub-folder labeled "Obsolete Documents" and the revised document is placed in the "Current Documents" sub-folder.
- 6) For documents that may be printed from the Pomshare2 share drive EMS folder, the a watermark on the document that states: *"Note: This on-line document is a 'controlled' document and authorized for use. When printed from this website, this document is uncontrolled. Before using a printed copy of this document, ensure that it is the same as the on-line version."* This note on each document indicates that a printout of the document is an uncontrolled copy and that the EMSMR should be consulted for the latest, most accurate version.
- 7) Electronic storage, transfer and retrieval are the preferred method for POM EMS document management.
- 8) Hard copies of new documents are watermarked with: "APPROVED – CONTROLLED COPY". The EMSMR maintains the original document and issues controlled documents, as necessary, to all locations where operations are essential to the effective functioning of the EMS.
- 9) Hard copies of revised documents are distributed to the appropriate locations, as necessary. Revisions to controlled documents are indicated by the revision numbers and the date of revision. Each revision cancels and replaces the previous issue. Obsolete documents are watermarked as: "DO NOT USE – NOT LATEST REVISION" and filed separately from the current internal documents.
- 10) Copies of obsolete documents are kept for at least three years.

11) Records relevant to the EMS are considered a special type of document and are managed in accordance with POM-EMS-PR-4.5.4 (Control of Records Procedure).

12) All controlled documents reviewed at least annually, and revisions are reported to the EQCC.

13) The EQCC reviews the EMS document revisions in accordance with POM-EMS-PR-4.6 (Management Review Procedure).

E. RESPONSIBILITIES

1) EMS Management Representative (EMSMR)

- a.** Drafts or directs the drafting of all POM's EMS documents and ensures that the documents are legible, dated and readily identifiable.
- b.** Reviews and approves EMS documents prepared by others; returns unapproved documents for appropriate revisions.
- c.** Records the revision of EMS documents on the Document Control Revision Log (POM-EMS-PR-4.4.4A).
- d.** Assigns document numbers to new EMS documents.
- e.** Makes copies of and distributes new or revised electronic EMS documents per section D.5 & 6 of this procedure, respectively.
- f.** Makes copies of and distributes new or revised hard-copy EMS documents per sections D.8 & 9 of this procedure, respectively.
- g.** Maintains copies of obsolete documents for legal and/or knowledge preservation purposes for at least three years.
- h.** Reviews all controlled documents at least annually, in coordination with the Directorate of Publics, Environmental Division (PWE), and reports revisions to the Environmental Quality Control Committee (EQCC).
- i.** Issues uncontrolled electronic documents for temporary use per section D.6 of this procedure.
- j.** Ensures that records relevant to the EMS are managed in accordance with POM-EMS-PR-4.5.4 (Control of Records Procedure).

2) Environmental Quality Control Committee (EQCC)

- a.** Reviews EMS document revisions provided by the EMSMR in accordance with POM-EMS-PR-4.6 (Management Review Procedure).

3) EMSMR Supervisor

- a.** Reviews and approves EMS documents prepared by EMSMR; returns unapproved documents for appropriate revisions.

4) Directorate of Information Management (DOIM):

- a.** Ensure proper Pomshare2 maintenance for file retention, and proper access of EMS files by all members of POM community.

F. ATTACHMENTS

- 1) Document Control Revision Log (POM-EMS-PR-4.4.4A)
- 2) Document Control Numbering Matrix (POM-EMS-PR-4.4.4B)

Attachment A. Document Control Revision Log

DOC. NUMBER	TITLE	DATE LAST REVISED	LOCATION	DATE OF NEXT REVISION
POM-EMS-MN-A.4.4	EMS Manual			
POM-EMS-PR-4.3.1	Environmental Aspects Identification and Ranking Procedure			
POM-EMS-PR-4.3.2	Legal and Other Requirements Identification Procedure			
POM-EMS-PR-4.3.3	Environmental Objectives and Targets Procedure			
POM-EMS-PR-4.4.3	Environmental Communication Procedure			
POM-EMS-PR-4.4.4	Competence, Training and Awareness Procedure			
POM-EMS-PR-4.4.4	Control of Documents Procedure			
POM-EMS-PR-4.4.6	Operational Control Procedure			
POM-EMS-PR-4.5.1	Monitoring and Measurement Procedure			
POM-EMS-PR-4.5.3	Nonconformity, Corrective Action and Preventive Action Procedure			
POM-EMS-PR-4.5.4	Control of Records Procedure			
POM-EMS-PR-4.5.5	Internal Audit Procedure			
POM-EMS-PR-4.6	Management Review Procedure			
POM-EMS-PR-4.3.1A	Aspect Identification Worksheet			
POM-EMS-PR-4.3.1B	Aspect Ranking Criteria with Numerical Scoring System			
POM-EMS-PR-4.3.3A	Environmental Objectives and Targets Record			
POM-EMS-PR-4.3.3B	Environmental Target Action Plan			
	Performance Nonconformance Letter			
POM-EMS-PR-4.4.3A	External Environmental Communication Log			
POM-EMS-PR-4.4.4A	Document Control Revision Log			
POM-EMS-PR-4.4.6A	Operational Control Procedure Log			
	Emergency Action Plan			
POM-EMS-PR-4.5.1A	Environmental Performance Quarterly Report Form 1			
POM-EMS-PR-4.5.1B	Environmental Performance Quarterly Report Form 2			
POM-EMS-PR-4.5.3A	Corrective Action Request (CAR) Form			
POM-EMS-PR-4.5.3B	Corrective Action Tracking Log			
POM-EMS-	Preventive Action Request (PAR) Form			

PR-4.5.3C				
POM-EMS-PR-4.5.3D	Preventive Action Log			
POM-EMS-PR-4.5.4A	Environmental Records Log			
POM-EMS-PR-4.5.5A	Example EMS Audit Form			
POM-EMS-PR-4.6A	EQCC Roster			
POM-EMS-PR-4.6A	Management Review Form			

Attachment B. EMS Document Numbering Procedure & Matrix

Procedure Summary:

Presidio of Monterey numbers all EMS documents using the following process:

- All document numbers follow the included format: POM-EMS-**XX-ISO 14001 policy reference**
 - **XX** refers to the type of document referenced; in the case of procedures for the POM EMS, “PR” is used to indicate that the document is a procedure
 - **ISO Policy Reference** refers to the ISO 14001 section number for which the document was developed, which makes the document a requirement for the POM EMS.
 - For example: The ISO 14001 section A.4.4 requires that entities develop a manual for compiling procedures information, so the POM manual document number would be: POM-EMS-MN-A.4.4 (“MN” is used since this document is a “manual”).
- Once documents are utilized as records, a record number is assigned for tracking purposes
 - The record numbering procedure is included in POM-EMS-PR-4.5.4 (Control of Records Procedure)

Example Numbering Matrix:

Prefix for all POM Documents	Plus Record ID Letters (Type of record)	ISO 14001 Reference # Example	Complete Document Number Assigned
POM-EMS-	PR (Procedure)	4.3.1	POM-EMS-PR-4.3.1
POM-EMS-	MN (Manual)	A.4.4	POM-EMS-MN-A.4.4
POM-EMS-	PR (Procedure) <i>attachment A to procedure POM-EMS-PR-4.6</i>	4.6A	POM-EMS-PR-4.6A